

04/11/01

04-12-01

A

Please type a plus sign (+) inside this box → ☒

PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

434/1/002

First Inventor

Soo Hyun KIM et al

Title

SPECTROPHOTOMETER WITH DRIVE MEANS  
AND SPECTROPHOTOMETRY USING SUCH

Express Mail Label No.

EL071579614US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 25]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
- Oath or Declaration (Figs. 1-6) [Total Pages 1]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☒ Information Disclosure Statement (IDS)/PTO-1449 [2] Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☒ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
Prior application information Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label [ ] or ☐ Correspondence address below

Name Richard M. Goldberg  
Address 25 East Salem Street, Suite 419  
City Hackensack State NJ Zip Code 07601  
Country USA Telephone (201) 343-7775 Fax (201) 488-3884

Name (Print/Type)

Richard M. Goldberg

Registration No. (Attorney/Agent)

28,215

Signature

Richard M. Goldberg

Date

April 11, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

36976 U.S. PTO  
09/832551  
04/11/01

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL

## for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 395.00

## Complete if Known

Application Number \_\_\_\_\_  
 Filing Date **April 11, 2001**  
 First Named Inventor **Soo Hyun KIM et al**  
 Examiner Name \_\_\_\_\_  
 Group Art Unit \_\_\_\_\_  
 Attorney Docket No. **434/1/002**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **07-1524**Deposit Account Name **Richard M. Goldberg**
☒ Charge Any Additional Fee Required  
 Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.  
 See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	<b>355</b>
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 355.

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
11	-20** = 0	0	0
2	-3** = 0	0	0
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 130	123 130	Petitions related to provisional applications	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	<b>40.</b>
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00

## SUBMITTED BY

Name (Print/Type)	Registration No (Attorney/Agent)	Telephone
<b>Richard M. Goldberg</b>	<b>28,215</b>	<b>201-343-7775</b>
Signature <i>Richard M. Goldberg</i>	Date <b>April 11, 2001</b>	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# GOLDBERG PATENT LAW OFFICE

25 EAST SALEM STREET  
SUITE 419  
HACKENSACK, NEW JERSEY 07601 U.S.A.

(201) 343-7775

PATENT, TRADEMARK AND  
COPYRIGHT CAUSES

FACSIMILE (201) 488-3884

MEMBER NEW JERSEY AND  
NEW YORK BARS

April 11, 2001

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: New U.S. Patent Application  
Applicants: Soo Hyun Kim et al  
Title : SPECTROPHOTOMETER WITH DRIVE MEANS  
AND SPECTROPHOTOMETRY USING SUCH  
My File : 434/1/002

Certificate of Mailing By Express Mail Under 37 CFR 1.10

Express Mail "Mailing Label No.": EL071579614US  
Date of Deposit : APRIL 11, 2001  
I hereby certify that this paper and/or fee is being deposited with  
the United States Postal Service "Express Mail Post Office to  
Addressee" service under 37 C.F.R. 1.10 on the date indicated above  
and is addressed to the ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, D.C. 20231 on APRIL 11, 2001.

Richard M. Goldberg  
(Name of Registered Representative  
and person mailing)

*Richard M. Goldberg April 11, 2001*  
(Signature and Date)

Dear Sirs:

Transmitted herewith for filing in the U.S. Patent and  
Trademark Office is a new U.S. patent application including:

- (a) FORM PTO/SB/05 (11-00) - Utility Patent Application Transmittal;
- (b) FORM PTO/SB/17 (09-00) - Fee Transmittal, with authorization to charge \$395.00 for the filing fee and assignment recordal fee to Deposit Account No. 07-1524. The filing fee has been calculated in consideration of the claims in the Preliminary Amendment filed herewith.
- (c) Application Data Sheet;
- (d) Application of twenty-five (25) pages, with eleven (11) claims;

Assistant Commissioner for Patents  
April 11, 2001  
Page 2

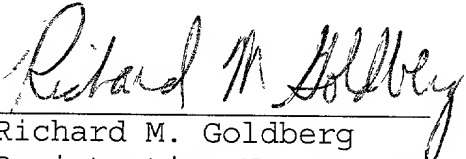
- (e) Five (5) sheets of formal drawings (Figs. 1-6);
- (f) Declaration and Power of Attorney;
- (g) Assignment and Recordation Form Cover Sheet;
- (h) Preliminary Amendment;
- (i) Information Disclosure Statement, one form PTO-1449 and two references; and
- (j) Petition for Grant of Priority under 35 U.S.C. 119 and certified copy of Korean Application No. 2000-72556.

**APPLICANT QUALIFIES FOR SMALL ENTITY STATUS.**

It is respectfully requested that the above-identified application be granted a filing date within the December 1, 2001 convention term, based on Korean Application No. 2000-72556, filed December 1, 2000.

The Commissioner is authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1524.

Respectfully submitted,

  
Richard M. Goldberg  
Registration No. 28,215

RMG:mz  
enclosures